



UNITED STATES PATENT AND TRADEMARK OFFICE
(Attorney Docket No. 12640US01)

2165

In the Application of:

ROBERT CAREY et al.

Serial No.: 09/480,724

Filed: January 7, 2000

For: METHOD OF SELECTING
SECURITIES FOR A PORTFOLIO



CERTIFICATE OF MAILING

I hereby certify that this correspondence
is being deposited with the United
States Postal Service as first class mail
in an envelope addressed to:
Commissioner for Patents, D.C. 20231
on November 20, 2000.

By: Ronald E. Larson
Ronald E. Larson
Reg. No. 24,478

TRANSMITTAL OF
FIRST SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
AFTER APPLICATION FILING DATE

Commissioner for Patents
Washington, D.C. 20231

RECEIVED
NOV 29 2000
Group 2100

Dear Sir:

ENCLOSURES

Enclosed are the following:

A completed PTO form 1449 which has 1 page.

A copy of each printed or patented reference listed in the enclosed form 1449 and not
previously provided to or by the PTO in this application. One reference is enclosed.

A First Supplemental Information Disclosure Statement describing the reference listed in
the enclosed Form 1449.

FEE DETERMINATION

No fee is believed to be due because this statement and enclosures are being filed prior to
receipt of the first Official Action reflecting an examination on the merits.

The Commissioner is hereby authorized to charge any additional fees which are presently required, or credit any overpayment, to Deposit Account No. 13-0017.

REQUEST FOR CONSIDERATION

This paper and enclosures are believed to be entitled to consideration under 37 C.F.R. § 1.97, based on the facts stated above. The Examiner is required to initial both copies of the enclosed PTO-1449 (modified) and return one copy to the applicant(s) to indicate consideration of the enclosed references.

Respectfully submitted,

November 20, 2000

DATE

Ronald E. Larson
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Attorney for applicant(s)

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**FIRST SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents
Washington DC 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, it is respectfully requested that the following reference be considered in the examination of the above-identified patent application:

US PATENT NO.	NAME	DATE
6,035,286	Fried	03/07/00

The above-identified reference is listed on the attached PTO Form 1449, and a copy is also enclosed herewith.

This submission is in no way intended as an admission that the above-cited references constitute prior art under any subsection of 35 U.S.C. § 102. Applicant expressly retains the

right to take any actions necessary to remove the above-cited references from the available prior art.

This First Supplemental Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this First Supplemental Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Account No. 13-0017. A duplicate copy of this document is enclosed.

Respectfully submitted,



Ronald E. Larson
Registration No. 24,478
Attorney for Applicant

November 20, 2000
Date

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